



From the Vendor Trace document or declaration, identify all documents that pertain to the System Change Notes. Each submitted (Vol. 1, Sect. 1.1) Technical Data Package document (Vol.2 Sect. 6.6) is reviewed (Vol. 1, Sect. 1.6.2.2).

Note about revisions: The first time a review form is completed, the form revision number is 01. As the review process continues, newer versions of vendor documents, or additional documents, will be submitted to close discrepancies. Each time new versions of documents are examined, the review form is saved with a new revision number. Save the form with the new revision (Save As) before you update the document names, versions and/or file names. Enter Reviewer name and date on the new revision.

Applicable TDP Documents table: List each applicable TDP document. Put the Title from inside the document in the first column, along with the version and date. Under "File name," copy the full document file name.

Trace Table: Verify whether the vendor correctly documented each applicable VVSG requirement listed in this template. Use the following notations to indicate results:

- **Traced** column: For each positive finding, enter the document number(s) corresponding to the **Applicable TDP Documents** Table below, with the section number(s) in each applicable document where the requirement is fulfilled. (Example: Doc. 2, Sec. 1.2)
- **Y, N, NT or NS** (Findings) column:
 - "Y" indicates that the document(s) fulfill the requirement.
 - "N" indicates that the document(s) do not fulfill the requirement.
 - "NT" (not tested) indicates requirements that are applicable to the system configuration but outside the scope of this certification review effort (only for a partial or delta cert).
 - "NS" (not supported) indicates requirements that apply to features that are not supported in the configuration being tested (such as paper ballots).
- **Comments** column
 - Explain "N", "NT" or "NS" findings here.
 - In addition, use the Comments column to enter any comments that would be helpful throughout the project.
 - **Discrepancies:**
 - List discrepancies in red
 - A Documentation discrepancy is written when a VVSG requirement is not fulfilled or is partially fulfilled in the TDP.
 - An Informational discrepancy is written when the issue is outside the scope of the certification; Informational discrepancies are provided to the client but do not preclude certification.
 - Enter the discrepancy number of any discrepancies written (from the separate discrepancy report), with a short description in the Comments column.

Vendor :	ES&S	Reviewer(s):	M. Schirmer, L. Hoppert (re-review)
Voting System:	EVS 6.0.2.1	Review Date:	9/17/2018, 10/9/2018

Applicable TDP Documents

Document Title (from cover pg), version, date	Doc #	File name
TDP Change Report	#1	Documentation Change Report (ESSYS_6'0'2'1_L_DocChgRpt_TDPRRev00to01)
TDP Change Report	#1-a	Documentation Change Report



Document Title (from cover pg), version, date	Doc #	File name
		(ESSYS_6'0'2'1_L_DocChgRpt_TDPRev01toRev02)
TDP Change Report	#1-b	Documentation Change Report (ESSYS_6'0'2'1_L_DocChgRpt_TDPRev02toRev03)
TDP Change Report	#1-c	Documentation Change Report (ESSYS_6'0'2'1_L_DocChgRpt_TDPRev03toRev04)
Requirements of the VVSG 1.0 Trace To Technical Data Package Version 1.0, 9/5/2018 <i>VVSG 1.0 Requirements Trace Matrix for TDP</i>	#2	VVSG Requirements Matrix ESSYS_6'0'2'1_L_RequirementsMatrix_TDP
System Change Notes Rev 1.0, 9/7/2018	#3	ESSYS_6'0'2'1_D_CHANGENOTES
System Change Notes Rev 1.1, 9/11/2018	#3-a	ESSYS_6'0'2'1_D_CHANGENOTES
System Change Notes Rev 1.2, 9/14/2018	#3-b	ESSYS_6'0'2'1_D_CHANGENOTES
System Change Notes w/QA Test Notes	#4	ESSYS_6'0'2'1_D_CHANGENOTES_QA
System Test Plan Rev 1.2, 9/27/2018	#5	ESSYS_6'0'2'1_D_TESTPLAN
Test Cases for ExpressVote HW1.0 Rev 1.0, 9/14/2018 <i>QA Test Cases</i>	#6	ESSYS_6'0'2'1_QA_TC_EVOTE_HW1'0
Test Cases for ExpressVote HW2.1 Rev 1.0, 9/14/2018 <i>QA Test Cases</i>	#7	ESSYS_6'0'2'1_QA_TC_EVOTE_HW2'1
Test Cases for ExpressVote XL Rev 1.0, 9/14/2018 <i>QA Test Cases</i>	#8	ESSYS_6'0'2'1_QA_TC_EVOTEXL
Test Cases Electionware – Results Rev1.0, 9/14/2018 <i>QA Test Cases</i>	#9	ESSYS_6'0'2'1_QA_TC_EWARE_RESULTS
Test Cases for Core – Pennsylvania Rev 1.0, 9/14/2018 <i>Cert Test Cases</i>	#10	ESSYS_6021_CERT_TC_CORE
Test Cases for ExpressVote XL Rev 1.0, 9/14/2018 <i>Cert Test Cases</i>	#11	ESSYS_6021_CERT_TC_EVOTEXL
Test Cases for Core Rev 1.0, 9/14/2018 <i>Cert Test Cases</i>	#12	ESSYS_6021_CERT_TC_PACORE
Voting System Overview Rev 1.1, 9/11/2018	#13	ESSYS_6'0'2'1_D_SysOvr
System Functionality Description Rev 1.1, 9/11/2018	#14	ESSYS_6'0'2'1_D_SFD
<i>SDS Appendices-PostGreSQL Entity Descriptions</i>	#15	EWARE_99'4_D_PostGreSQLDescriptions
<i>SDS Appendices-XML Diagrams</i>	#16	EWARE_99'5_D_XMLDiagrams_EVS6021
Software Design and Specification - ExpressVote Rev 1.1, 9/11/2018 <i>Software Design and Specification – ExpressVote HW1.0</i>	#17	EVOTE_1'5'1'0_SDS
ExpressVote XL – Software Design Specification Rev 1.0, 8/31/2018	#18	EVOTEXL_1'0'1'0_SDS



Document Title (from cover pg), version, date	Doc #	File name
<i>Software Design and Specification - ExpressVoteXL</i>		
Electionware – Software Design Specification Rev 1.1, 9/11/2018 <i>Software Design and Specification - Electionware</i>	#19	EWARE 5'0'2'0_SDS
ExpressVote (Hardware Version 2.1) Software Design and Specification Rev 1.0, 8/31/2018 <i>Software Design and Specification – ExpressVote HW2.1</i>	#20	EVOTE 2'4'3'0_SDS
EMS Client Workstation Secure Setup & Configuration Guide Rev1.1, 9/11/2018 <i>Secure Setup and Configuration Guide for the Client Workstation</i>	#21	ESSYS_6'0'2'1_SPC_CLIENTWORKSTATIONSETUPCONFIGGUIDE
EMS Server Secure Setup & Configuration Guide Rev 1.1, 9/11/2018 <i>Secure Setup and Configuration Guide for the Election Management System</i>	#22	ESSYS_6'0'2'1_SPC_EMSSERVERSETUPCONFIGGUIDE
Standalone EMS Workstation Secure Setup & Configuration Guide Rev 1.1, 9/11/2018 <i>Secure Setup and Configuration Guide for the Standalone Workstation</i>	#23	ESSYS_6'0'2'1_SPC_STANDALONEWORKSTATIONSETUPCONFIGGUIDE
Security Script Description Rev 1.1, 9/11/2018 <i>Security Script Description for the Election Management PC</i>	#24	ESSYS_6'0'2'1_SPC_SECURITYSCRIPTDESC
Verification Procedure: DS200 Precinct Scanner and Tabulator Rev 1.1, 9/11/2018 <i>Verification Procedures – DS200 HW1.3</i>	#25	ESSYS_6'0'2'1_D_VERPROC_DS200
Verification Procedure: DS450 High-Throughput Scanner & Tabulator Rev 1.1, 9/11/2018 <i>Verification Procedures – DS450 HW 1.0</i>	#26	ESSYS_6'0'2'1_D_VERPROC_DS450
Verification Procedure: DS850 High-Speed Scanner & Tabulator Rev 1.1, 9/11/2018 <i>Verification Procedures – DS850 HW1.0</i>	#27	ESSYS_6'0'2'1_D_VERPROC_DS850
Verification Procedure: ExpressTouch Rev 1.1, 9/11/2018 <i>Verification Procedures – ExpressTouch HW 1.0</i>	#28	ESSYS_6'0'2'1_D_VERPROC_ETOUCH
Verification Procedure: Verification PC Setup Rev 1.1, 9/11/2018 <i>Verification Procedures – Verification PC</i>	#29	ESSYS_6'0'2'1_D_VERPROC_VERIFICATIONPCSETUP
Verification Procedure: <i>Verification Scripts</i>	#30	Verification Pack – 6.0.2.1
Verification Procedure: Election Management System Workstation and Server Rev 1.0, 9/19/2018 <i>Verification Procedures – Election Management System</i>	#31	ESSYS_6'0'2'1_D_VERPROC_EMS
Verification Procedure: ExpressVote Hardware 1.0 Rev 1.0,	#32	ESSYS_6'0'2'1_D_VERPROC_EVOTE_HW1'0



Document Title (from cover pg), version, date	Doc #	File name
9/19/2018 <i>Verification Procedures – ExpressVote HW1’0</i>		
Verification Procedure: ExpressVote Hardware 2.1 Rev 1.0, 9/19/2018 <i>Verification Procedures – ExpressVote HW2’1</i>	#33	ESSYS_6’0’2’1_D_VERPROC_EVOTE_HW2’1
Verification Procedure: ExpressVote XL Rev1.0, 9/19/2018 <i>Verification Procedures – ExpressVote XL</i>	#34	ESSYS_6’0’2’1_D_VERPROC_EVOTEXL
Validation File List: Electionware– Electionware Rev 1.2, 9/17/2018 <i>Static/Dynamic File List - Electionware</i>	#35	EWARE_5’0_L_ValFileList
Validation File List: ExpressVote HW 2.1 Rev 1.2, 9/17/2018 <i>Static/Dynamic File List – ExpressVote HW 2.1</i>	#36	EVOTE_2’4_L_ValFileList
<i>Build Procedure</i>	#37	ESSYS_6’0’2’1_BP_EMSTrustedBuild1.0
ExpressVote Operator’s Guide Rev 1.0, 8/31/2018 <i>System Operations Procedures – ExpressVote HW 1.0</i>	#38	EVOTE_1’5’1’0_SOP_HW1.0
ExpressVote Operator’s Guide Rev1.0, 8/31/2018 <i>System Operations Procedures – ExpressVote HW 2.1</i>	#39	EVOTE_1’5’1’0_SOP_HW2.1
ExpressVoteXL Operator’s Guide Rev 1.0, 8/30/2018 <i>System Operations Procedures – ExpressVote XL</i>	#40	EVOTEXL_1’0’1’0_SOP
Electionware Vol I: Administrator Guide Version 1.0, 8/29/2018 <i>Electionware Administrator’s Guide</i>	#41	EWARE 5’0’2’0_SOP_01Admin
Electionware Vol II: Define User Guide Version 1.0, 8/29/2018 <i>Electionware Define: User’s Guide</i>	#42	EWARE_5’0’2’0_SOP_02Define
Electionware Vol III: Design User Guide Version 1.0, 8/29/2018 <i>Electionware Design: User’s Guide</i>	#43	EWARE_5’0’2’0_SOP_03Design
Electionware Vol. IV: Deliver User Guide Version 1.0, 8/29/2018 <i>Electionware Deliver: User’s Guide</i>	#44	EWARE_5’0’2’0_SOP_04Deliver
Electionware Vol. V: Results User Guide Version 1.0, 8/29/2018 <i>Electionware Results: User’s Guide</i>	#45	EWARE_5’0’2’0_SOP_05Results
Electionware Vol. VI: Appendices Version 1.0, 8/29/2018 <i>Electionware Appendices: User’s Guide</i>	#46	EWARE_5’0’2’0_SOP_06Appendices
ExpressVote Maintenance Manual Rev 1.0, 8/31/2018 <i>System Maintenance Manual – ExpressVote HW1’0</i>	#47	EVOTE_1’5’1’0_SMM_HW1’0
ExpressVote Maintenance Manual Rev 1.0, 8/31/2018 <i>System Maintenance Manual – ExpressVote HW2’1</i>	#48	EVOTE_2’4’3’0_SMM_HW2’1
ExpressVote XL Maintenance Manual Rev 1.0, 8/30/2018 <i>System Maintenance Manual – ExpressVote XL</i>	#49	EVOTEXL_1’0’1’0_SMM



Trace Table

Req #	VVSG 2005 – Vol. 2 unless otherwise specified	Traced	Y, N, NT or NS	Comments
2	Technical Data Package			
2.1	Scope			
2.1.1	Content and Format			
2.1.1.1	Required Content for Initial Certification (<i>Indicate “*” if this document does not fall into the identified category of documentation.</i>)			
	l. At minimum, the TDP shall contain the following documentation: System change notes.	Doc #2, entire document Doc #3, entire document	Y	
2.1.1.2	Required Content for System Changes and Re-certification			
	For systems seeking re-certification, vendors shall submit System Change Notes as described in Section 2.13, as well as current versions of all documents that have been updated to reflect system changes.	Doc #2, entire document Doc #3, entire document	Y	
	Vendors may also submit other information relevant to the evaluation of the system, such as test documentation, and records of the system's performance history, failure analysis and corrective actions.	Doc #5 - #12, entire document	Y	Test documentation
2.1.1.3	Format			
	The requirements for formatting the TDP are general in nature; specific format details are of the vendor's choosing. The TDP shall include a detailed table of contents for the required documents, an abstract of each document and a listing of each of the informational sections and appendices presented. A cross-index shall be provided indicating the portions of the documents that are responsive to documentation requirements for any item presented.	Doc #1, a-c, entire document Doc #2, Table of Contents Doc #3, Table of Contents	Y	
2.1.3	Protection of Proprietary Information			
	The vendor shall identify all documents, or portions of documents, containing proprietary information not approved for public release. Any person or test agency receiving proprietary information shall agree to use it solely for the purpose of analyzing and testing the	Doc #1, a-c, NA Doc #2 – #49, Pg. 2 of all documents	Y	



Req #	VVSG 2005 – Vol. 2 unless otherwise specified	Traced	Y, N, NT or NS	Comments
	system, and shall agree to refrain from otherwise using the proprietary information or disclosing it to any other person or agency without the prior written consent of the vendor, unless disclosure is legally compelled.			
2.13	System Change Notes			
	Vendors submitting modifications for a system that has been tested previously and received national certification shall submit system change notes. These will be used by the accredited test lab to assist in developing and executing the test plan for the modified system.	Doc #3, entire document Doc #4, entire document	Y	
a.	The system change notes shall include the following information: Summary description of the nature and scope of the changes, and reasons for each changes;	Doc #3 & Doc #4, Section	Y	
b.	The system change notes shall include the following information: A listing of the specific changes made, citing the specific system configuration items changed and providing detailed references to the documentation sections changed;	Doc #3, Section– listing of specific changes made. Doc #3 - #4 Revision History – detailed references to the documentation sections changed.	Y	
c.	The system change notes shall include the following information: The specific sections of the documentation that are changed (or completely revised documents, if more suitable to address a large number of changes).	Doc#3 & Doc #4, Section – Introduction refers to Doc #1 for a list of updated documents and also the Revision History of each updated document.	Y	“See the Revision History of updated documents for details of documentation changes”
d.	The system change notes shall include the following information: Documentation of the test plan and procedures executed by the vendor for testing the individual changes and the system as a whole, and records of test results.	Doc #3 & Doc #4, Section – Introduction refers to Doc #1 & #5 Doc #5, entire document – test plan and procedures executed by the vendor for testing the individual changes and the system as a whole Doc #6 - #12, entire document – records of test results.	Y	DISC 6021-1 , Doc #5 System Test Plan: The Title page displays Revision # 1.0 The Table of Changes displays Version # 1.1 on 9/11/2018 CLOSED 10/9/18 , LH: Issue was addressed in v 1.2 of the System Test Plan.



End of Document
